

CD-430
(10/05)

U.S. Department of Commerce

PERFORMANCE MANAGEMENT RECORD

Coverage	Bureau Appraisal Cycle	Appraisal Year
<input type="checkbox"/> General Schedule <input checked="" type="checkbox"/> Federal Wage System <input type="checkbox"/> Wage Marine	<input checked="" type="checkbox"/> October 1 – September 30 <input type="checkbox"/> June 1 – May 31 <input type="checkbox"/> November 1 – October 31	From: <u>06/01/07</u> To: <u>09/30/07</u>

Employee's Name: _____ SSN: _____

Position Title: Chief, Information Technology Division Pay Plan, Series, Grade/Step: GS-2210-15/4

Organization: 1. NTIA 3. Information Technology Division

2. Office of Spectrum Management 4. _____

PERFORMANCE PLAN CERTIFICATION

This plan is an accurate statement of the work that will be the basis for the employee's performance appraisal.

Privacy Act Statement - Disclosure of your social security number is voluntary. The number is linked with your name in the official personnel records to ensure unique identification of your records. The social security number will be used solely to ensure accurate entry of your performance rating into the automated record system.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>1</u> of <u>5</u>
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Cascaded Organizational Goals

Each element must be cascaded from the DOC Strategic Goals. All Goals must be identified for each element. First, select the appropriate DOC Strategic Goal, then list the Bureau Goal, and the SES Manager Goal to complete the cascade.

DOC Strategic Goals:

- ☐ Strategic Goal 1: Provide the information and tools to maximize U.S. competitiveness and enable economic growth for American industries, workers and consumers
- ☒ Strategic Goal 2: Foster science and technology leadership by protecting intellectual-property, enhancing technical standards and advancing measurement science
- ☐ Strategic Goal 3: Observe, protect and manage the Earth's resources to promote environmental stewardship
- ☐ Management Integration Goal: Achieve Organizational and Management Excellence
- ☒ **Bureau Goal:** Ensure that the allocation of radio spectrum provides the greatest benefit to all people.
- ☒ **SES/Organizational Goal:** See FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

Critical Element and Objective

Customer Service

To respond to internal and external customers, stakeholders, and the public.

Weighting Factor (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) **Enter the weight for this element in the adjacent box.** →

Element Weight

15

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

- Federal agency requests and inquiries are responded to in compliance with OSM standards for quality and timeliness (ITD 10).
- Federal agency requests are acknowledged and customers are kept apprised of the status of inquiry and when to expect resolution (ITD 10).
- Written and oral responses are developed for public inquiries, i.e. customer needs are identified and issues clarified in communications with customer (ITD 10).
- Requests for classified network support from OSM staff and participating bureaus/offices within the Department (BIS, NOAA, ITA, OSY, OCIO, O/S) are addressed (ITD 7, ITD 10).
- Requests, datacalls, and inquiries from the Office of the CIO and Office of Management and Budget (OMB) are addressed (ITD 3, ITD 5, ITD 10).
- Feedback is provided to the supervisor regarding the outcome of the NTIA, Departmental, and OMB requests or inquiries (ITD 10).
- (ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

General Measure: Timeliness

Specific Measures: On average, (1) routine NTIA and federal agency requests are addressed within one business day, (2) Departmental and OMB requests are addressed by established deadlines or suspense dates, and (3) emergency customer support requests are addressed within 30 minutes.

General Measure: Quality

Specific Measures: Responses to federal agency requests usually reflect accurate research and complete analysis as determined by the supervisor. Responses to Departmental and OMB requests are typically current, accurate, and technically sound.

If on approved absence, an automated notification e-mail will normally be sent in response to in-coming messages that indicates your absence, the period of absence and identifies an alternate contact. Voice mail messages must also provide the caller with the same information.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____

Date _____

Element No. _____

2 of 5

Cascaded Organizational Goals

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Critical Element and Objective

Information Technology Management/Planning

Formulate, establish, and implement IT plans and policies to meet Departmental, DOD, and OMB standards or industry best practices.

Weighting Factor (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.)

Enter the weight for this element in the adjacent box.

Element Weight

20

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

Strategic and Operational IT Plans are developed and implemented (ITD 5).

IT Policies, Standards, and Operating Procedures are reviewed, developed, and implemented (ITD 3, ITD 5).

IPv6 Transition Plan is developed (ITD 5).

Standardized project management methodologies are established and implemented (ITD 5).

Enterprise Architecture Capability and IT Capital Planning/Investment Control Maturity Model assessments are performed (ITD 3).

OSM IT systems are compliant with Departmental, DOD, NIST, and accepted best practices for information assurance (ITD8).

(ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

General Measure: Timeliness

Specific Measures: Completes plans in accordance with the schedule established by the supervisor or higher authority.

Completes IPv6 Transition Plan by the end of the fiscal year unless supervisor agrees to extension.

Completes assessments in accordance with published deadlines.

Implements standardized IT project management methods by the end of the fiscal year unless supervisor agrees to extension.

General Measure: Quality

Specific Measure: The plans are typically accurate, coordinated with federal agencies, and thoroughly documented as determined by the supervisor.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>3</u> of <u>5</u>
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Critical Element and Objective

Spectrum Management Improvements

Improve the spectrum management processes through implementation of IT portion of the President's Spectrum Policy Initiative.

Weighting Factor: (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) Enter the weight for this element in the adjacent box.

Element Weight

25

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

Approved Federal Spectrum Management System (FSMS) milestones are met (ITD 1).

Partnership with the FCC and DOD to harmonize spectrum management IT systems is established (ITD 2).

Frequency Authorization system architecture is implemented (ITD 1).

Spectrum Policy Development system architecture is implemented (ITD 1).

FSMS Portal and Services architecture is implemented (ITD 1).

Initial operating capability of the fsmDB is implemented (ITD 1).

(ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

General Measure: Timeliness

Specific Measures: Completes milestones on schedule unless extension agreed to by supervisor.

Inputs to annual report are provided within two weeks from the date requested by the supervisor unless extension is agreed to. An agreement or MOU is developed and executed between the FCC/NTIA and DOD/NTIA in FY 2007.

General Measure: Quality

Specific Measures: Project plans are typically current, accurate, technically sound and coordinated with OSM EAC and federal agencies.

PERFORMANCE PLAN AND APPRAISAL RECORD

Employee Name: _____	Date _____	Element No. <u>4</u> of <u>5</u>
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Critical Element and Objective

Leadership

Provide the necessary leadership, management of funding and personnel resources to satisfy the goals and objectives of the Administration, Department of Commerce, NTIA, and the Office of Spectrum Management

Weighting Factor (The weight for each element should reflect the significance within the framework of the Department's or bureau's organization goals. Weights should not be assigned based on the percentage of time an employee spends working on that element.) Enter the weight for this element in the adjacent box.

Element Weight
20

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

Resources are managed to accomplish the Department's Strategic Goals, and NTIA and OSM objectives. NTIA and OSM priorities are communicated to staff.

Employees are coached to realize their potential, using individual development plans and training programs to increase staff productivity.

Employee performance and recognition is managed through continuous feedback on performance, performance appraisals and awards, and resolution of performance deficiencies.

Employees are motivated to achieve high performance and to produce high quality products and materials.

Employment actions such as selections and promotions are managed, and are consistent with equal opportunity and diversity principles. Employee grievances and allegations of discrimination receive a prompt response with the goal of resolution at the lowest organizational level.

Office complies with legal and reporting obligations, the Privacy Act, and other applicable statutes, including the requirements of governmental and other suppliers of data to NTIA and OSM to ensure the confidentiality of Personally Identifiable Information (PII).

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

Staff is applied effectively to complete assignments and meet the responsibilities of the Office.

Office performance is consistent with NTIA and OSM standards and performance plans/evaluations.

Staff is constantly being developed to meet changing requirements.

Performance plans and individual development plans are in place by November 30.

Mid-year progress reviews are conducted by April 30.

Performance appraisals and ratings are completed by October 31.

The Performance Management Tracking System is maintained and usually kept current to facilitate the bureau's completion of the Department's CD-431 reporting deadlines.

PERFORMANCE PLAN AND APPRAISAL RECORD

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- ☐ Management Integration Goal: Achieve Organizational and Management Excellence

☒ Bureau Goal:

- ☒ SES/Organizational Goal: See FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

Critical Element and Objective

Operational IT Support/Spectrum Needs of the Federal Agencies

Provide the IT equipment, software, maintenance, services, and problem resolution to enable the Federal agencies and OSM staff to conduct their respective spectrum management business functions.

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Enter the weight for this element in the adjacent box:→

Element Weight

20

Results of Major Activities: Identify results that need to be accomplished in support of the performance element. A minimum of 3 and a maximum of 6 measurable results must be listed.

Frequency assignment action requests are processed and produced (ITD 4).

Access to spectrum management data, including frequency assignment actions and policy documents, are provided electronically via classified and unclassified nodes (ITD 4).

Redundant, synchronized spectrum management systems are available and functioning (ITD 7).

IT requirements of the OSM lines of business are satisfied (ITD 7).

Access to internal and external resources are provided to OSM staff (ITD 7).

(ITD #): For expanded description of each major activity see FY 2007 DOC-NTIA-OSM Goals, Major Activities, & Performance Elements (October 2, 2006) or updates thereto and also available on the NTIA Employee Resources website.

Criteria for Evaluation: Supplemental Standards are required for each element and must be defined at Level 3 performance in terms of quality, quantity, timeliness, and/or cost-effectiveness. Attached Generic Performance standards also apply.

General Measure: Timeliness

Specific Measures: Frequency assignment actions are processed and produced daily, except in extraordinary circumstances are identified. On average, response to critical system outages or issues are within 30 minutes. Systems available for use during times of national emergency or crisis are tested at least quarterly.

General Measure: Quality

Specific Measures: Reports produced are usually accurate and reflect current system data. Federal agency users and OSM staff are generally provided access to information required to accomplish their mission objectives.

Employee Name: _____			
PERFORMANCE SUMMARY RATING			
<ul style="list-style-type: none"> • List each element in the performance plan. • All elements are critical. • Assign a rating level for each element: <ul style="list-style-type: none"> (5) Level 5 (highest level of performance; (4) Level 4; (3) Level 3; (2) Level 2; (1) Level 1 (unacceptable performance) • Score each element by multiplying the weight by the rating level. • Interim ratings should be considered when you prepare the final summary rating. • After each element has been scored, compute the total point score by adding the individual scores. • Rating officials must provide either an overall narrative justification of the summary rating or a written justification for each element rating. • A written justification is required for any element rated below Level 3. 			
Performance Element	Individual Weights (Total must equal 100)	Element Rating (5, 4, 3, 2, 1)	Score
Customer Service	15		0
IT Management/Planning	20		0
Spectrum Management Improvements	25		0
Leadership	20		0
Operational IT Support/Agency Spectrum Needs	20		0
TOTAL SCORE			0
PERFORMANCE RATING			
<div style="display: flex; justify-content: space-between;"> <div><input type="checkbox"/> Level 5 (470 – 500)</div> <div><input type="checkbox"/> Level 4 (380 – 469)</div> <div><input type="checkbox"/> Level 3 (290 – 379)</div> <div><input type="checkbox"/> Level 2 (200 – 289)</div> <div><input type="checkbox"/> Level 1 (100 – 199)</div> </div>			
Rating Official's Signature/Title			Date
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>			
Approving Official's Signature/Title			Date
<div style="border: 1px solid black; height: 40px; width: 100%;"></div>			
Employee's Signature (indicates appraisal meeting held) Employee comments attached?			Date
<div style="border: 1px solid black; height: 40px; width: 100%;"></div> <div style="text-align: right; margin-top: 5px;"> <input type="checkbox"/> Yes <input type="checkbox"/> No </div>			
PERFORMANCE RECOGNITION			
<input type="checkbox"/> Performance Award \$ _____ (%) <i>Appropriation Code</i> _____ <input type="checkbox"/> QSI (Level 5 Required)			
Rating Official's Signature/Title			Date
Karl B. Nebbia, Associate Administrator, Office of Spectrum Management			
Approving Official's Signature/Title			Date
Meredith A. Baker, Deputy Assistant Secretary for Communications and Information			